7308



United States Patent and Trademark Office

COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE

WWW.LSDE.JUWWW

APPLICATION NUMBER FILING DATE GRP ART UNIT FIL FEE REC'D ATTY.DOCKET.NO **DRAWINGS** TOT CLAIMS IND CLAIMS 09/764.366 / 01/18/2001 / 2163 / 582 10366-014 8 38 2

20583 PENNIE AND EDMONDS 1155 AVENUE OF THE AMERICAS NEW YORK, NY 100362711 CONFIRMATION NO. 7123
UPDATED FILING RECEIPT
CC0000000006317722

Date Mailed: 07/19/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Virich A. Muller, Zurich, SWITZERLAND; Richard B. Olsen, Zurich, SWITZERLAND;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/200,742 05/01/2000 WHICH CLAIMS BENEFIT OF 60/200,743 05/01/2000 / WHICH CLAIMS BENEFIT OF 60/200,744 05/01/2000 /

Foreign Applications

If Required, Foreign Filing License Granted 03/06/2001

Projected Publication Date: 11/01/2001

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY ** /

Title

Method for market making \

Preliminary Class

JUL 26 2001

Data entry by : MOHAMMED, ABDULBASIT

Team : OIPE

Date: 07/19/2001

I NEWSCRIPT WAS BEING BUILD KREEF BEING BEING BEING BEING BEING BUIRD BUIRD BEING BEING BEING BEING BEING BEING

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

Express Mail No.: EL 501 640 159 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

Müller et al.

Application No.: 09/764,366

Group Art Unit: 2163

Filed: January 18, 2001

Examiner: Not yet assigned

For:

METHOD FOR MARKET MAKING

Attorney Docket No.: 10366-014

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents **BOX MISSING-PARTS** Washington, D.C. 20231

Sir:

1 Month Extension. Pursuant to 37 C.F.R. 1.136(a), Applicants hereby petition for a 1-month extension of time to respond to the Notice To File Missing Parts Of Nonprovisional Application mailed on March 7, 2001. This extension will extend the response due date to June 7, 2001. The estimated fee for this extension is \$55 (small entity).

In response to the Notice To File Missing Parts Of Nonprovisional Application mailed on March 7, 2001, a copy of which is enclosed, applicants submit herewith, pursuant to 37 CFR 1.63 and MPEP § 201.06(c), a Declaration for Non-Provisional Patent Application executed by the inventors, along with a Power of Attorney executed by an authorized officer of the assignee, a Verified Statement Claiming Small Entity Status, and eight sheets of substitute drawings. An Assignment from the inventors to the assignee is simultaneously being submitted under separate cover to Box Assignment.

The fee for the submission of this response is estimated to be \$65 (small entity). Combining this fee with the above extension fee, the estimated total required fee is \$120. Please charge all required fees to Pennie & Edmonds LLP Deposit Account No. 16-1150.

Respectfully submitted,

Date___June 6, 2001

For Francis E. Morris

teren J. Underwood (Reg. Na 47, 205)

PENNIE & EDMONDS LLP

1155 Avenue of the Americas New York, New York 10036-2711

(212) 790-9090

Enclosures